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# DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

Declaration  
Submitted  
With Initial  
Filing

OR

Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)Attorney Docket  
Number

P44606

First Named Inventor

PHILLIPS, Stanley

COMPLETE IF KNOWN

Application Number

Filing Date

Art Unit

Examiner Name

**I hereby declare that:**

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

APPARATUS FOR GENERATING OZONE AND/OR O<sub>1</sub> USING A HIGH ENERGY PLASMA  
DISCHARGE

(Title of the Invention)

the specification of which



is attached hereto

OR



was filed on (MM/DD/YYYY)

03/03/2005

as United States Application Number or PCT International

Application Number

PCT/CA2005/000340

and was amended on (MM/DD/YYYY)

09/05/2005

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application<br>Number(s) | Country | Foreign Filing Date<br>(MM/DD/YYYY) | Priority<br>Not Claimed  | Certified Copy Attached? |                                     |
|--|---------|-------------------------------------|--------------------------|--------------------------|-------------------------------------|
|  |         |                                     |                          | YES                      | NO                                  |
| 2461223                                | Canada  | 03/16/2004                          | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|  |         |                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            |
|  |         |                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            |
|  |         |                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            |



Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

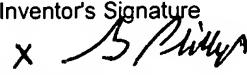
[Page 1 of 2]

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**DECLARATION — Utility or Design Patent Application**

|   |                  |   |                        |
|---|------------------|---|------------------------|
| Direct all correspondence to: <input checked="" type="checkbox"/> The address associated with Customer Number: <span style="border: 1px solid black; padding: 2px 20px;">022839</span>  |                  | OR <input type="checkbox"/> Correspondence address below                      |                        |
| Name  |                  |   |                        |
| Address   |                  |   |                        |
| City  |                  | State   | ZIP                    |
| Country   | Telephone        |   | Email                  |
| <b>WARNING:</b>   |                  |   |                        |
| <p>Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.</p> |                  |   |                        |
| <p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p>  |                  |   |                        |
| <b>NAME OF SOLE OR FIRST INVENTOR:</b>  |                  | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                        |
| Given Name (first and middle [if any])<br>Stanley   |                  | Family Name or Surname<br>PHILLIPS  |                        |
| Inventor's Signature<br>X    |                  |   | Date<br>July x 31 2006 |
| Residence: City<br>Courtice   | State<br>Ontario | Country<br>Canada   | Citizenship<br>Canada  |
| Mailing Address<br>24 Devondale Street  |                  |   |                        |
| City<br>Courtice  | State<br>Ontario | Zip<br>L1E 1S1<br><del>L1E 4A1</del>  | Country<br>Canada      |
| <input checked="" type="checkbox"/> Additional inventors or a legal representative are being named on the <u>1</u> supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.  |                  |   |                        |

**DECLARATION****ADDITIONAL INVENTOR(S)**  
Supplemental SheetPage 1 of 1

|   |               |   |                    |
|---|---------------|---|--------------------|
| <b>Name of Additional Joint Inventor, if any:</b> |               | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                    |
| Given Name (first and middle (if any))            |               | Family Name or Surname  |                    |
| Shirley   |               | PHILLIPS  |                    |
| Inventor's Signature <i>X S Phillips</i>          |               | Date July <i>X 31, 2006</i>   |                    |
| Courtesy Residence: City                          | Ontario State | Canada Country  | Canada Citizenship |
| 24 Devondale Street                               |               |   |                    |
| Mailing Address                                   |               |   |                    |
| Courtesy City                                     | Ontario State | LIEISI<br>LIEISI<br>Zip   | Canada Country     |
| <b>Name of Additional Joint Inventor, if any:</b> |               | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                    |
| Given Name (first and middle (if any))            |               | Family Name or Surname  |                    |
| Andrew  |               | PHILLIPS  |                    |
| Inventor's Signature <i>X Phillips</i>            |               | Date July <i>X 31, 2006</i>   |                    |
| Courtesy Residence: City                          | Ontario State | Canada Country  | Canada Citizenship |
| <del>24 Devondale Street</del> 56 GLENABBEY DRIVE |               |   |                    |
| Mailing Address                                   |               |   |                    |
| Courtesy City                                     | Ontario State | LIE2B5<br>LIEISI<br>Zip   | Canada Country     |
| <b>Name of Additional Joint Inventor, if any:</b> |               | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                    |
| Given Name (first and middle (if any))            |               | Family Name or Surname  |                    |
|   |               |   |                    |
| Inventor's Signature                              |               | Date  |                    |
| Residence: City                                   | State         | Country   | Citizenship        |
| Mailing Address                                   |               |   |                    |
| City  | State         | Zip   | Country            |

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# **POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM**

Application Number

Filing Date

First Named Inventor

PHILLIPS, Stanley

Title

APPARATUS FOR GENERATING OZONE...

Art Unit

Examiner Name

Attorney Docket Number

P44606

I hereby revoke all previous powers of attorney given in the above-identified application.

I hereby appoint:



Practitioners associated with the Customer Number:

022839

OR



Practitioner(s) named below:

| Name | Registration Number |
|------|---------------------|
|      |                     |
|      |                     |
|      |                     |
|      |                     |

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:



The address associated with the above-mentioned Customer Number:

OR



The address associated with Customer Number:

OR

Firm or  
Individual Name

Address

City

State

Zip

Country

Telephone

Email

I am the:



Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

## SIGNATURE of Applicant or Assignee of Record

|                   |                           |           |              |
|-------------------|---------------------------|-----------|--------------|
| Signature         | <i>X Shirley Phillips</i> | Date      | July 31 2006 |
| Name              | Shirley PHILLIPS          | Telephone | 705 432 36   |
| Title and Company |                           |           |              |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.



\*Total of 3 forms are submitted.

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# **POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM**

|                        |                                   |
|------------------------|-----------------------------------|
| Application Number     |                                   |
| Filing Date            |                                   |
| First Named Inventor   | PHILLIPS, Stanley                 |
| Title                  | APPARATUS FOR GENERATING OZONE... |
| Art Unit               |                                   |
| Examiner Name          |                                   |
| Attorney Docket Number | P44606                            |

I hereby revoke all previous powers of attorney given in the above-identified application.

I hereby appoint:

☒ Practitioners associated with the Customer Number:

022839

OR

☐ Practitioner(s) named below:

| Name | Registration Number |
|------|---------------------|
|      |                     |
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|      |                     |
|      |                     |

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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☐ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

|  |  |       |  |     |
|--|--|-------|--|-----|
| <input type="checkbox"/> Firm or Individual Name |  |       |  |     |
| Address  |  |       |  |     |
| City   |  | State |  | Zip |
| Country  |  |       |  |     |
| Telephone  |  | Email |  |     |

I am the:

☒ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

## SIGNATURE of Applicant or Assignee of Record

|                   |                           |           |              |
|-------------------|---------------------------|-----------|--------------|
| Signature         | X <i>Stanley Phillips</i> | Date      | July 20 2006 |
| Name              | Stanley PHILLIPS          | Telephone | 905 432 3651 |
| Title and Company |                           |           |              |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 3 forms are submitted.

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PHILLIPS, Stanley

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Art Unit

Examiner Name

Attorney Docket Number

P44606

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Practitioner(s) named below:

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The address associated with Customer Number:

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Firm or  
Individual Name

Address

City

State

Zip

Country

Telephone

Email

I am the:



Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

## SIGNATURE of Applicant or Assignee of Record

Signature

*Phillips*

Date

July 31 2006

Name

Andrew PHILLIPS

Telephone

905 434 6155

Title and Company

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.



\*Total of 3 forms are submitted.

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If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Applicant or Patentee: PHILLIPS, Stanley; PHILLIPS, Shirley; and PHILLIPS, Andrew  
Serial or Patent No.: \_\_\_\_\_ Atty. Dkt. No.: P44606  
Filed or Issued: \_\_\_\_\_  
For: APPARATUS FOR GENERATING OZONE AND/OR O1 USING A HIGH ENERGY PLASMA DISCHARGE

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for the purposes of paying reduced fees under section 41(a) and(b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled "Apparatus for Generating Ozone and/or O1 Using a High Energy Plasma Discharge" described in

(X) the specification filed herewith  
( ) application serial no. \_\_\_\_\_, filed \_\_\_\_\_  
( ) patent no. \_\_\_\_\_, issued \_\_\_\_\_

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concerned or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

(X) no such person, concern or organization  
( ) persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
( ) INDIVIDUAL ( ) SMALL BUSINESS CONCERN ( ) NON-PROFIT ORGANIZATION

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
( ) INDIVIDUAL ( ) SMALL BUSINESS CONCERN ( ) NON-PROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

**NAME OF INVENTOR**

PHILLIPS, Stanley

Signature of Inventor

X *Stanley Phillips*

Date

July X 31 2006

**NAME OF INVENTOR**

PHILLIPS, Shirley

Signature of Inventor

X *Shirley Phillips*

Date

July X 31 2006

**NAME OF INVENTOR**

PHILLIPS, Andrew

Signature of Inventor

X *Andrew Phillips*

Date

July X 31 2006

7/13/06